

**DEPARTMENT OF WATER RESOURCES**

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April 6, 2009

Mr. Brendan A. Murphy, Deputy Director  
Division of Administration,  
Grants Monitoring & Audits Unit  
Governor's Office of Homeland Security  
State Capitol  
Sacramento, CA 95814

Monitoring Report #M08-031

Attn.: James Lewis

Dear Mr. Murphy:

The Office of Homeland Security (OHS) found the Department to be in compliance in 22 categories, and non-compliance in 7 categories for the Grant Monitoring Report referenced above. Submitted, herewith, is the Department of Water Resources' (Department) Corrective Action Plan for those 7 categories:

A. Administrative Review:

5. Homeland Security Strategies:

A literature search in the California State Library system found no "State Strategy for Homeland Security" until 2008 (cover page and table of contents provided). However, the Department followed the "January 2002 State Water Project Terrorism Preparedness and Response Plan" for this grant. This information is provided as Exhibit A.

C. Financial Management:

1. Accounting System:

a) Financial Reporting:

Attached, as Exhibit B, is a general ledger that tracks work item location, date, invoice number, work status, cost object, and payment status. In the future, the Department will adhere to Generally Accepted Accounting Principles (GAAP) and Financial Integrity State Managers Act (FISMA) for tracking and reporting expenditures.

C. Financial Management:

1. Accounting System:

b) Source Documentation:

See C,1,a above.

C. Financial Management:

1. Accounting System:

c) Double Billing:

In addition to the corrective action plan provided in C,1,a above, the Department will work with Fiscal Services (within the Department) to ensure that necessary information is provided for invoice tracking purposes to preclude double billing to OHS grants.

C. Financial Management:

1. Accounting System:

g) General Ledger Accounting Structure:  
See Exhibit B, attached

F. Fiscal: Equipment & Property Management:

2. Property and Records Keeping:

a) Attached, as Exhibit C, is an Equipment Inventory Log Sheet that identifies work location, equipment installed, model number, and quantity. In the future, the Department will require that grant-purchased equipment be inspected and signed off by Department staff for satisfactory delivery, and signed off after satisfactory installation. This information will be transferred to an equipment inventory log sheet when complete.

F. Fiscal: Equipment & Property Management:

2. Property and Records Keeping:

b) See F,2,a above. This is consistent with the Department's construction quality assurance and quality control, and record-keeping practices.

This Corrective Action Plan is provided as Option Two of the Monitoring Report # M08-031. Should you have any questions or need additional information, please do not hesitate to call me at (916) 654-6135.

Sincerely,



Sonny Fong  
Emergency Preparedness & Security Manager  
Executive Division  
Department of Water Resources

Attachments

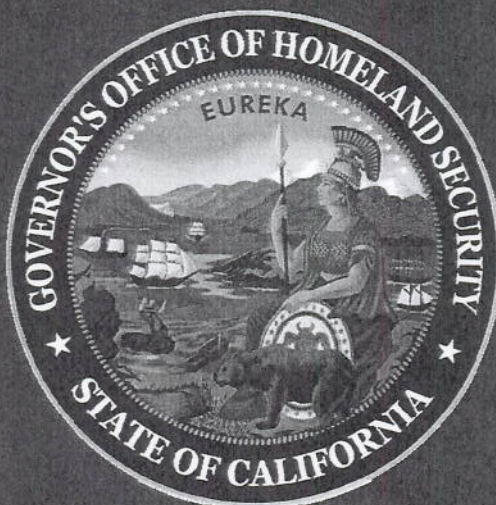
Cc: John Rizzardo, DWR State Water Project Security Coordinator  
Kevin Elcock, DWR Emergency Preparedness & FEMA Coordinator



*Exhibit A*



**STATE OF CALIFORNIA  
HOMELAND SECURITY  
STRATEGY  
2008**



**Governor's Office of Homeland Security**

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*Exhibit A***Introduction**

The DWR State Water Project Terrorism Preparedness and Response Plan was prepared in response to significant terrorist attacks in the United States. Acts of terrorism pose major threats to the lives and safety of Department staff, the lives and property of the public, and major disruptions in water supply. This plan is one of several guidelines that will increase the effectiveness of DWR's response to potential or actual acts of terrorism committed against one or more of the facilities of the SWP.

This plan supersedes the January 2002 State Water Project Terrorism Preparedness and Response Plan and incorporates features of the prior plan into the SWP Security Program Instructions. This plan conforms to the *California Terrorism Response Plan* (updated February 2001).

**Goals and Objectives**

The goal of this plan is to support the DWR and the State of California in their efforts to prepare for, and respond to, any and all threats made against the safety of its citizens by developing and implementing an emergency response plan for the SWP. The specific focus of this policy is to address issues resulting from potential and actual terrorist/sabotage events directed toward the SWP.

This plan provides direction to organizations within DWR that are involved with the SWP. It also provides documentation for the measures that have been established in preparing for and responding to terrorist events. It is intended to assist DWR in fulfilling its roles and responsibilities listed in the Administrative Orders and the California Terrorism Response Plan and to clarify roles and responsibilities in dealing with the threat or actual occurrence of terrorist events on the SWP. It is also intended as reference information for other DWR organizations and State/federal agencies that have a valid need to know.

The objectives of this plan are to:

- Provide a mechanism for establishing and maintaining a current and realistic coordinated plan to deal with potential terrorist/sabotage acts on the SWP.
- Outline the roles and responsibilities of DWR organizations in preparing for and responding to terrorist events involving the SWP including the Joint Use Facility portion of the SWP.
- Provide planning, response, and recovery guidance that is consistent with SEMS/NIMS and ICS.

## **PART 1 - COMPREHENSIVE HOMELAND SECURITY STRATEGY**

In March of 2005, the Office of Homeland Security (OHS) released the *California Homeland Security Strategy*. This strategy builds upon the foundation laid by the *National Strategy for Homeland Security* from the U.S. Department of Homeland Security. It uses the key concepts and principles identified in the federal strategy, relating them to the needs and unique characteristics of California. The strategic objectives of homeland security in California mirror those identified in the federal strategy:

1. Prevent terrorist attacks within the State;
2. Reduce California's vulnerability to terrorism; and
3. Minimize the damage and quickly recover from attacks that do occur.

With this comprehensive strategy as a guide and based upon the results of assessments completed by California's 58 operational areas and urban areas designated by the Department of Homeland Security, a Statewide Funding Strategy was developed. The Funding Strategy identifies a strategic direction for enhancing California's local jurisdictions and statewide response capability and capacity to prevent and reduce our vulnerability from natural disasters and acts of terrorism.

While specific project funding allocations are left for the operational area working groups to decide, resources they invest must support the State's Homeland Security Strategy for an all hazards, multi-discipline approach to emergency preparedness, response, recovery, mitigation and prevention. These investments should be tied to one of the following goals:

1. Enhance critical infrastructure protection across all sectors, including port security, mass transit and transportation security;
2. Coordinate weapons of mass destruction WMD response activities with Emergency Medical and Public Health Disciplines;
3. Integrate the Standardized Emergency Management System (SEMS) with the National Incident Management System (NIMS);
4. Enhance public outreach, education and training efforts to address terrorism events and natural disasters;
5. Ensure emergency responders have the equipment necessary for multi-discipline response to terrorism events;
6. Enhance regional response capabilities for terrorism events and prioritize the purchase of terrorism equipment that has "dual use" capabilities for natural disasters;
7. Institutionalize terrorism emergency planning in multi-hazard emergency planning and response context;
8. Establish compliance monitoring of all Department of Homeland Security grants;
9. Enhance information sharing efforts to deter, prevent, and respond to terrorism events;



## SWP SECURITY PROGRAM INSTRUCTION NO. SP-12.1

### State Water Project Terrorism Preparedness and Response Plan

Revised: October 2006

#### Background

The original State Water Project Terrorism Preparedness and Response Plan has been revised and incorporated into the SWP Security Program Instructions by the State Water Project Security Committee. This revised plan will be used primarily by the Division of Operations and Maintenance to outline and integrate local emergency action plans/procedures for responding to terrorist incidents. The plan provides a foundation for a Departmental response to a threatened or actual act of terrorism on the State Water Project. The original plan was prepared by a committee with representatives from the Divisions of Operations & Maintenance, Engineering, Planning and Local Assistance and the Environmental Services Office. The Bureau of Reclamation also participated as part of the committee. The members of the original committee are listed below.

#### SWP Joint Committee on Terrorism Security and Response

Brian Smith, Co-chair	Division of Planning & Local Assistance
Dan Peterson, Co-chair	Division of Operations and Maintenance
Teresa Sutliff	Division of Operations and Maintenance
Jim Blood	Division of Operations and Maintenance
Maury Miller	Oroville Field Division
Pete Scheele	Delta Field Division
Jerry Bartholomew	San Luis Field Division
Curtis Johnson	San Joaquin Field Division
Wayne Archer	San Joaquin Field Division
Bruce Jackson	Southern Field Division
Phil Wendt	Environmental Services Office
Bill Nickels	Environmental Services Office
Jim Peddy	Division of Engineering
Sergio Escobar	Division of Engineering
James Meredith	Bureau of Reclamation
Carol Skubiszewski	Bureau of Reclamation
Sonny Fong, Executive Sponsor	Executive

WELCOME TO  
THE CALIFORNIA STATE LIBRARY

*Exhibit A*

## Your Request Has Been Sent

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Your request has been sent by email to the Library! A staff member from the California State Library will contact you (usually the next business day) with details about the item's availability.

If you have questions, or need this item immediately, please phone the Circulation Desk at 916-654-0206., Monday - Friday, 9:30 a.m. to 4:00 p.m.

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Elcock, Kevin

Exhibit A

From: Rizzardo, John  
Sent: Wednesday, March 18, 2009 3:20 PM  
To: Elcock, Kevin  
Subject: FW: State Employee Title Request

Quick response!!!

John Rizzardo

-----Original Message-----

From: Information Resources and Government Publications [mailto:cslinfo@library.ca.gov]  
Sent: Wednesday, March 18, 2009 3:18 PM  
To: Rizzardo, John  
Subject: RE: State Employee Title Request

Mr. Rizzardo,

I don't find any trace of this report existing before the 2007 version. There's nothing in our collection and I don't find anything elsewhere--either in another library's collection or in the Internet Archive.

I did find a copy of the 2007 version in the Internet Archive, if you need to see it (see <http://web.archive.org/web/20070624062351/www.homeland.ca.gov/pdf/strategy.pdf>

)

, and the 2008 edition is available from the Office of Homeland Security's website at [http://www.homeland.ca.gov/pdf/2008\\_CA\\_State\\_Homeland\\_Security\\_Strategy.pdf](http://www.homeland.ca.gov/pdf/2008_CA_State_Homeland_Security_Strategy.pdf)

, but I can't find any other report from an earlier year.

-California State Library  
Information Resources & Government Publications  
916-654-0261  
cslinfo@library.ca.gov

-----Original Message-----

From: web\_catalog\_request@lib.state.ca.us [mailto:web\_catalog\_request@lib.state.ca.us]  
Sent: Wednesday, March 18, 2009 1:37 PM  
To: Request This Title  
Subject: State Employee Title Request

State Employee Request from the Web Catalog:

DBCN: AGC-0944  
Title: State of California homeland security strategy 2007 [electronic resource] / Governor's Office of Homeland Security.

Author:

Publisher: [Sacramento, Calif.] : State of California, Governor's Office of Homeland Security, [2007] Call No.: H523 .S87 2007 Online

Date Needed/Comments: is there a strategy from 2004? I need this for DHS grant reporting audit.

User: John Rizzardo

Exhibit B

<u>Work Item Location</u>	<u>Date</u>	<u>Invoice No.</u>	<u>Amount</u>	<u>Work Status</u>	<u>Cost Object</u>	<u>Payment Status</u>
Southern Field Division	5/31/06	LA-580641	\$62,352.14	Materials + 80% Labor	75000074522	Payment Sent and Received
Southern Field Division	6/29/06	LA-582443	\$17,002.99	20% Labor	75000074522	Payment Sent and Received
San Joaquin Field Division	6/29/06	LA-582407	\$37,484.15	Materials Only	75000077060	Payment Sent and Received
San Joaquin Field Division	9/01/06	LA-586647	\$27,254.59	60% Labor	75000077060	Payment Sent and Received
San Joaquin Field Division	9/29/06	LA-588327	\$28,326.57	40% Labor	75000077060	Payment Sent and Received
San Luis Field Division	6/29/06	LA-582406	\$34,962.98	Materials Only	75000078115	Payment Sent and Received
San Luis Field Division	6/29/06	LA-593393	\$27,459.43	Labor	75000078115	Payment approved
Delta Field Division	6/29/06	LA-582433	\$21,946.56	Materials Only	75000078282	Payment Sent and Received
Delta Field Division	6/29/06	LA-593346	\$37,604.03	Labor	75000078282	Payment approved
Project Operations Center	6/29/06	LA-582408	\$16,055.28	Materials Only	32100000	Need PMO
				Labor	-	NOT INSTALLED
Oroville Field Division	6/29/06	LA-582409	\$35,962.33	Materials Only	75000079989	Payment Sent and Received
			\$53,233.46	Labor	75000079989	Payment approved
			\$399,644.51			



Exhibit C

EQUIPMENT INVENTORY LOG SHEET

<u>Work Item Location</u>	<u>Equipment Installed</u>	<u>Model</u>	<u>Quantity</u>
Southern Field Div.	Electromagnetic Cyclindrical Lock w/RQE & Required Support Equip	BAS-93KW7DEU15-STK-626	2
San Joaquin Field Div	Electromagnetic Cyclindrical Lock w/RQE & Required Support Equip	BAS-93KW7DEU15-STK-626	13
San Luis Field Div.	Electromagnetic Cyclindrical Lock w/RQE & Required Support Equip	BAS-93KW7DEU15-STK-626	2
Delta Field Div.	Electromagnetic Cyclindrical Lock w/RQE & Required Support Equip	BAS-93KW7DEU15-STK-626	5
Project Ops. Center	Control Board Reader Interface Board	BAS 500	1
		BAS1320	14
Oroville Field Div.	Electromagnetic Cyclindrical Lock w/RQE & Required Support Equip	BAS-93KW7DEU15-STK-626	7